

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of:	Stolte et al.	Confirmation No.:	To be assigned
Serial No.:	To be assigned	Art Unit:	To be assigned
Filed:	Herewith	Examiner:	To be assigned
For:	COMPUTER SYSTEMS AND METHODS FOR VISUALIZING DATA	Attorney Docket No.:	11311-005-999

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application.

1. Enclosures accompanying this Information Disclosure Statement are:

1a. ☒ A list of all patents, publications, applications, or other information submitted for consideration by the office.

1b. A legible copy of :

☒ Each U.S. patent application publication and U.S. and foreign patent;

☒ Each publication or that portion which caused it to be listed on the PTO-1449;

☐ For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or portion of the application which caused it to be listed on the PTO-1449 including any claims directed to that portion;

☐ all other information or portion which caused it to be listed on the PTO-1449.

1c. ☐ An English language copy of search report(s) from a counterpart foreign application or PCT International Search Report.

1d. ☐ Explanations of relevancy (ATTACHMENT 1(d), hereto) or English language abstracts of the non-English language publications.

2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):

☒ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);

☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;

☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.

3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.

*(Check either Item 3a or 3b)*

3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.

- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:  
☐ enclosed  
☐ to be charged to Pennie & Edmonds LLP Deposit Account No. 16-1150.

*(Item 3b to be checked if any reference known for more than 3 months)*

4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:

- ☐ enclosed.  
☐ to be charged to Pennie & Edmonds LLP Deposit Account No. 16-1150.

The Certification Statement in Item 5 below is applicable.

5. ☐ Certification Statement (applicable if Item 3a or Item 4 is checked)

*(Check either Item 5a or 5b)*

5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6. ☐ This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).

*(Check appropriate Items 6a, 6b and/or 6c)*

6a. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is concurrently filed herewith.

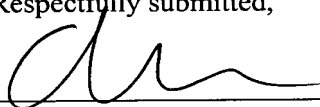
6b. ☐ Copies of publications listed on Form PTO-1449 from prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35

U.S.C. §120, are not being submitted pursuant to 37 C.F.R. §1.98(d).

- 6c. ☐ Copies of the publications listed on Form PTO-1449 were not previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, and are provided herewith.
7. ☐ This is a Supplemental Information Disclosure Statement. (Check either Item 7a or 7b)
- 7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on \_\_\_\_\_.
8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:
- ( Check Item 8a, 8b, or 8c)
- 8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.
- 8b. ☐ set forth in the application.
- 8c. ☐ enclosed as an attachment hereto.
9. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Pennie & Edmonds LLP Deposit Account No. 16-1150.
10. ☒ No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith). 37 C.F.R. §§1.97(g) and (h).

Respectfully submitted,

Date: September 16, 2003

  
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41,796  
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**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY DOCKET NO.

11311-005-999

APPLICATION NO

To be assigned

APPLICANT

Stolte et al.

FILING DATE

Herewith

GROUP

To be assigned

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,490,593	12/3/02	Proctor			
	AB	6,405,208	6/11/02	Raghavan et al.			
	AC	6,405,195	6/11/02	Ahlberg			
	AD	6,400,366	6/4/02	Davies et al.			
	AE	6,397,195	5/28/02	Pinard et al.			
	AF	6,377,259	4/23/02	Tenev et al.			
	AG	6,339,775	1/15/02	Zamanian et al.			
	AH	6,327,628	12/4/01	Anuff et al.			
	AI	6,317,750	11/13/01	Tortolani et al.			
	AJ	6,300,957	10/9/01	Rao et al.			
	AK	6,269,393	7/31/01	Yost et al.			
	AL	6,260,050	7/10/01	Yost et al.			
	AM	6,253,257	6/26/01	Dundon			
	AN	6,247,008	6/12/01	Cambot et al.			
	AO	6,222,540	4/24/01	Sacerdoti			
	AP	6,208,990	3/27/01	Suresh et al.			
	AQ	6,188,403	2/13/01	Sacerdoti et al.			
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	AV	6,032,158	2/29/00	Mukhopadhyay et al.			
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	AX	5,864,856	1/26/99	Young			
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	BA	5,036,314	7/30/91	Barillari et al.			
	BB	6,492,989 B1	12/10/02	Wilkinson			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

	BC	Becker, <i>Visualizing Decision Table Classifiers</i> , Proceedings IEEE Symposium on Information Visualization, 1998.						
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BD	Becker <i>et al.</i> , <i>Trellis Graphics Displays: A multi-Dimensional Data Visualization Tool for Data Mining</i> , KDD'97, Newport Beach, CA, 1997.
BE	Derthick <i>et al.</i> , <i>An Interactive Visual Query Environment for Exploring Data</i> , ACM Symposium on User Interface Software and Technology, 1997.
BF	Fua <i>et al.</i> , <i>Navigating Hierarchies with Structure-Based Brushes</i> , Proc. of Infovis' 99 (San Francisco, California, USA, 1999), IEEE Computer Soc. Press.
BG	Goldstein <i>et al.</i> , <i>A Framework for Knowledge-Based Interactive Data Exploration</i> , Journal of Visual Languages and Computing, pp. 339-363, 1994.
BH	Gray <i>et al.</i> , <i>Data Cube: A Relational Aggregation Operator Generalizing Group-By, Cross-Tab, and Sub-Totals</i> , Data Mining and Knowledge Discovery 1, pp. 29-53, 1997.
BI	Healey, <i>On the Use of Perceptual Cues and Data Mining for Effective Visualization of Scientific Datasets</i> , Proceedings Graphics Interface '98, 1998.
BJ	Livny <i>et al.</i> , <i>DEVis: Integrated Querying and Visual Exploration of Large Datasets</i> , Proc. of ACM SIGMOD, 1997.
BK	Perlin and Fox, <i>An Alternative Approach to the Computer Interface</i> , Proc. of the 20 <sup>th</sup> International Conference on Computer Graphics and Interactive Techniques, pp. 57-64, 1993.
BL	Rao and Card, <i>The Table Lens: Merging Graphical and Symbolic Representation in an Interactive Focus+Context Visualization for Tabular Information</i> , Proc. of ACM SIGCHI, 1994.
BM	Roth <i>et al.</i> , <i>Interactive Graphic Design Using Automatic Presentation Knowledge</i> , Proc. CHI'94, 1994.
BN	Roth <i>et al.</i> , <i>Visage: A User Interface Environment for Exploring Information</i> , Proc. of Information Visualization, pp. 3-12, 1999.
BO	Spence <i>et al.</i> , <i>Focus: The Interactive Table for Product Comparison and Selection</i> , Proc. of ACM Symposium on User Interface Software and Technology, 1996.
BP	Stolte <i>et al.</i> , <i>Multiscale Visualization Using Data Cubes</i> , Proceedings of the Eighth IEEE Symposium on Information Visualization, 2002.
BQ	Stolte <i>et al.</i> , <i>Polaris: A System for Query, Analysis, and Visualization of Multidimensional Relational Databases</i> , IEEE Transactions on Visualization and Computer Graphics 8, pp. 52-65, 2002.
BR	Stolte <i>et al.</i> , <i>Query Analysis, and Visualization of Hierarchically Structured Data Using Polaris</i> , Proceedings of the Eighth ACM SIGKDD International conference on Knowledge Discovery and Data Mining, 2002.
BS	Therling <i>et al.</i> , <i>Visualizing Data Mining Models</i> , in Information Visualization in Data Mining and Knowledge Discovery, Fayyad <i>et al.</i> eds., Morgan Kaufman, 2001.
BT	Welling, <i>Visualization of Large Multi-Dimensional Datasets</i> , arXiv:astri-ph/0008186, 2000.
BU	Wilkinson <i>et al.</i> , <i>nViZn: An Algebra-Based Visualization System</i> , Smart Graphics Symposium UK, March 21-23, 2001, Hawthorne, NY, USA.
BV	Wilkinson, <i>Statistics and Computing-The Grammar of Graphics</i> , Springer-Verlag, Inc., New York, 1999.
BW	Stolte <i>et al.</i> , <i>Visualizing Application Behavior on Superscalar Processors</i> , Proceedings of the Fifth IEEE Symposium on Information Visualization, 2000.
BX	Bosch <i>et al.</i> , <i>Performance Analysis and Visualization of Parallel Systems Using SimOS and Rivet: A Case Study</i> , Proceedings of the Eighth IEEE International Symposium on High-Performance Computer Architecture, 2000.
BY	Bosch <i>et al.</i> , <i>Rivet: A Flexible Environment for Computer Systems Visualization</i> , Computer Graphics 34, 2000.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.